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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/606,542
	Filing Date	June 26, 2003
	First Named Inventor	Breen
	Group Art Unit	3624
	Examiner Name	Not Yet Assigned
Total Number of Pages in This Submission	Attorney Docket Number	4923/28

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Firm or Individual name	Matthew J. Marquardt, Reg. No. 40,997
Signature	
Date	March 10, 2004

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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date: March 10, 2004			
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PATENT
Attorney Docket No.: 4923/28

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Breen et al.

Application No: 10/606,542

Filing Date: June 26, 2003

For: Online Trade Aggregating System

Art Unit: 3624

Examiner: Not Yet Assigned

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Applicants respectfully submit herewith an Information Disclosure Statement (IDS), an Information Disclosure Citation List, and a copy of each document listed therein. The Examiner is requested to consider the enclosed documents, make them of record, and indicate his or her consideration of the documents by initialing the enclosed Citation List adjacent the citation of each document. Please return a copy of the initialed Citation form to the applicants' undersigned Attorney.

This IDS is being filed prior to receipt of any action letter in this case. Thus no fee is believed to be due for its filing. In the event that the Office determines that a fee is due, the Commissioner is hereby authorized to charge any such fee to the undersigned attorney's Deposit Account No. 02-4270.

Respectfully submitted,

Dated: March 10, 2004

Matthew J. Marquardt, Reg. No. 40,997
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Sheet

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of

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Complete if Known

Application Number	10/606,542
Filing Date	June 26, 2003
First Named Inventor	Breen
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Examiner Name	Not Yet Assigned
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U.S. PATENT DOCUMENTS

Examiner Initials	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
		4,674,044		Kalmus et al.	6/16/87	
		4,677,552		Sibley, Jr.	6/30/87	
		5,101,353		Lupien et al.	3/31/92	
		5,270,922		Higgins	12/14/93	
		5,297,031		Guterman et al.	3/22/94	
		5,497,317		Hawkins et al.	3/5/96	
		5,689,652		Lupien et al.	11/18/97	
		5,845,266		Lupien et al.	12/1/98	
		5,890,140		Clark et al.	3/30/99	
		5,893,079		Cwenar	4/6/99	
		5,911,136		Atkins	6/8/99	
		5,918,218		Harris et al.	6/29/99	
		5,926,801		Matsubara et al.	7/20/99	
		5,946,666		Nevo et al.	8/31/99	
		6,035,287		Stallaert et al.	3/7/00	
		6,112,189		Rickard et al.	8/29/00	

FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No. ¹	U.S. Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
		PCT	WO 99/46658		Folio Trade	9/16/99		
		PCT	WO 01/22339		D.E. Shaw	3/29/01		
		PCT	WO 01/37122	A2	D.E. Shaw	5/25/01		

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		Filing Date	June 26, 2003
		First Named Inventor	Breen
		Group Art Unit	3624
		Examiner Name	Not Yet Assigned
		Attorney Docket Number	4923/28

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

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		StockPower – The Power of Investing Direct, http://www.stockpower.com , one page, printed 5/20/99.	
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		StockPower – Homepage Questions Answered, http://www.stockpower.com/info/hp_faq.html , one page, printed 5/20/99.	
		Alio, Greg, "Long-Term Investors Get Short Shrift on Web," http://www.stockpower.com/indexarticle/overloaded.htm , 2 pgs., printed 5/20/99.	
		Runkle, George, "Dripping on the Web," http://www.fool.com/Server/FoolPrint.asp , 2 pgs., printed 5/20/99.	
		Runkle, George, "Drips Through the Web," http://www.fool.com/Server/FoolPrint.asp , 3 pgs., printed 5/20/99.	
		National Corporate Services, Inc., Direct Stock Purchase Plans DPPs and Drips, http://www.natcorp.com.direct.htm , 4 pgs., printed 5/20/99.	
		Netstock Direct Corp. press release, 10,000 Transactions Mark Trend in Online Direct Investing, http://www.netstockdirect.com/press/wizrelease.as , 1 pg., printed 5/20/99.	
		Netstock Direct Corp., website search results on search for "EEO Online DSP/DriP Companies", http://www.netstockdirect.com/nsdasp/DetailLevel1.asp , 1 pg., printed 5/20/99.	
		Netstock Direct Corp. press release, Netstock Direct Corporation Teams with the Bank of New York for Direct Investing Breakthrough, http://www.netstockdirect.com/press/release.asp , 2 pgs., printed 5/20/99.	
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet

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First Named Inventor	Breen
Group Art Unit	3624
Examiner Name	Not Yet Assigned
Attorney Docket Number	4923/28

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

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		Netstock Direct Corp., press release, Netstock Direct Teams with Norwest Shareowner Services to Offer Direct Investing Plans, http://www.netstockdirect.com/press/norwestrelease.asp , 1 pg., printed 5/20/99.	
		DRIP Investor, DRIP Investor brings you the latest news on Dividend Reinvestment Plans, http://www.dripinvestor.com/info.html , 1 pg., printed 6/9/99.	
		DRIP Investor Information Center, http://www.dripinvestor.com/info.html , 1 pg., printed 6/9/99.	
		Carlson, Charles, "Buying Stocks Without a Broker Using Dividend Reinvestment Plans", http://www.dripinvestor.com/comp1.html , 8 pgs., printed 6/9/99.	
		Shareholder Communications Corp. survey (two 1-page surveys and a return envelope); publication date not known, but prior to 10/27/98.	
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